Ghange Detection for Monitoring Forest Defoliation

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Abstract

Monitoring of environmental conditions such as forest defoliation by insects over large areas is facilitated by automated approaches to change detection using remotely sensed data. This study evaluated four change detection techniques using multispectral, multitemporal SPOT data for identifying changes in hardwood forest defoliation caused by gypsy moth, Lymantria dispar L.

The change detection techniques considered were principal components analysis, image differencing, spectral-temparal (layered temporal) change classification, and post-classification change differencing. The study area comprised approximately 148 square kilometres in Warren and Shenandoah Counties, Virginia. Reference information of defoliation were aerial sketch maps developed by the U.S. Forest Service.

^Resulfs indicate that defoliation may be best determined by image differencing and principal components analysis. A pair-wise test of significance determined that the four techniques resulted in significantly different accuracies at a 95 percent probobility level. Principol components and image differencing analyses are generally more complex than postclassification because data no longer represent actual sensor data values, and classification involves identifying change, rather than cover, classes. These techniques are simpler than post-classification approaches, which require independent classification prior to change detection.

lntroduction

A significant insect defoliation problem in the United States is caused by the gypsy moth, Lymantria dispar L. Defoliation assessment commonly involves aerial sketch mapping, photographic interpretation, and/or ground surveys. These techniques can be subjective and labor intensive. Automated change detection using satellite data could allow for timely and consistent estimates of defoliation trends over large areas, and ease of data capture into a Geographic Information System (cIs).

Forest assessments for monitoring gypsy moth defoliation require data acquisition at least once during the early summer when the insects are most active. Subsequent data acquisitions are also necessary to characterize regrowth and re-infestation during the growing season and to monitor suppression activities (Ciesla, 1981). Because defoliation can occur over thousands of hectares, there is also the need to have a synoptic view of defoliation (Talerico et al., 1978).

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Satellite-based digital remote sensing has been used for forest cover type mapping (Nash et al., 1980; Bryant et al., 1980; Buchheim et al., 1984), forest clearing (Sader, 1987), silvicultural assessments (Tom and Miller, 1980), disturbance assessment and monitoring (Aldrich, 1975), and forest defoliation and damage assessment studies (Nelson, 1983; Vogelmann and Rock, 1988; Vogelmann and Rock, 1989). The defoliation assessment studies have included damage from insects such as Mountain Pine Beetle, Dendroctonus ponde' rosae (Sirois and Ahern, 1989); Hemlock Looper, Lambdina fiscellaria fscellaria (Franklin, 1989); and Spruce Budworm, Choristoneura fumiferana Clemens (Buchheim et al., 1984); as well as gypsy moth (Nelson, 1983; Ciesla et al., 1989).

Landsat Multispectral Scanner (MSS) and Thematic Mapper (TM) data have been used successfully to map forest defoliation for a single date. Rohde and Moore (1974) delineated gypsy moth defoliation using false color composites of Landsat MSS data, and enhanced defoliation estimates with multitemporal MSS band 7 composites. Johnson (1980) evaluated an iterative procedure using an unsupervised clustering algorithm to develop training statistics for forest and non-forest categories using Landsat MSS data including three levels of canopy defoliation. Reported accuracies were 82.0 percent plus/minus 2.4 percent.

Williams et al. (1985) used ratio vegetation indices of Landsat MSS bands 5 and 7 to discriminate heavy forest defo-Iiation from a category of moderate defoliation and healthy forest with accuracies of 75 to 80 percent. Williams and Nelson (1986) developed techniques to delineate and assess forest damage due to defoliating insects with a reported 90 percent classification accuracy for delineating insect-damaged and healthy forest. Vogelmann and Rock (1988) evaluated Landsat tM data for its ability to detect and measure damage to spruce-fir stands. That study indicated that TM Band 5/4 and 7/4 ratios correlated well with ground observations of forest damage defined as percent foliar loss.

Applications of forest monitoring using SPOT (Satellite Probatoire pour l'Observation de la Terre) include the evaluation of simulated SPoT data for their ability to map forest cover type and detect defoliation caused by the spruce budworm (Buchheim et al., 1984). That study found that, although defoliation was discernible using digital processing, contextual information was needed to discriminate forest cover type. SPOT-XS (multispectral) color composites have also been used to delineate areas of gypsy moth defoliation

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in eastern hardwood forests (Ciesla et al., 1989). The authors compared defoliation estimates obtained from panoramic color infrared (CIR) aerial photography and reported an overall agreement between the two methods as 86 percent, although there were differences between the two techniques in their ability to classify defoliation intensity.

Change detection using multitemporal data had previously been employed primarily for the evaluation of landcover changes associated with urbanization (Christenson and Lachowski, 1976; Wickware and Howarth, 1981; Estes et al., 1982), desertification (Coiner, 1980; Robinove et al., 1981), and coastal zone monitoring (Weismiller et al., 1977; Hong and lisaka, 1982). Specific applications of change detection to monitoring defoliation include Nelson (1983), who evaluated image differencing, ratioing, and vegetative index differencing of Landsat MSS data for detecting defoliation due to gypsy moth. That study concluded that the vegetative index differencing and an MSS Band 5 ratio gave the best indication of forest canopy change, with accuracies of about 78 percent. Vogelmann and Rock (1989) used multitemporal Landsat TM band 4 image differencing (subtraction) with single-date band 3 and 5 data to distinguish between high and Iow levels of defoliation of hardwood forests caused by the Pear Thrips, Taeniothrips inconsequens Uzel.

The obiective of this study was to evaluate four change detection techniques using multitemporal, multispectral satellite data to identify changes in hardwood forest defoliation caused by gypsy moth. The four methods were (1) principal $components$ analysis (PCA), (2) image differencing (ID), (3) spectral-temporal change classification (srcc), and (4) postclassification change detection differencing (pccon).

SPOT XS multispectral data for two years, 1987 and 1988, were obtained for portions of Warren and Shenandoah Counties, Virginia. Criteria for evaluating the change detection techniques were classification accuracy, signature development complexity, data reduction, and processing and analysis intensity.

Study Area

The study area comprised a portion of the Strasburg, Virginia 1gB7 U.S. Geological Survey (uscs) 7.s-minute quadrangle map including approximately 148 square kilometres or 57 square miles (Figure 1). The study area is located within both the Blue Ridge Physiographic Province, and the Appalachian Valley and Ridge Physiographic Province. The Valley and Ridge Province comprising the western portion of the study area includes Massanutten Mountain and the adjacent foot slopes, narrow ridges, flood plains, and uplands. The rock strata in this region are predominantly folded sandstone, siltstone, and limestone. In the eastern portion of the study area, the steep to moderately steep foothills are underlain by greenstone and granitic rock (Holmes et al., 1984).

The forest cover of the region is predominantly hardwood and mixed oak-pine in the upland forested regions. The dominant tree species present are white oak (Quercus alba L.), northern red oak (Quercus rubra L.), chestnut oak (Quercus prinus L.), shagbark hickory (Carya ovata (Mill.) K. Koch), and American beech (Fagus grandifolia Ehrh.) (Smith and Linnartz, 1980). Lower elevations support agricultural crops and pasturage.

The upland hardwood forests of the region, including the study area, have been recently disturbed by the invasion of gypsy moth. Gypsy moth eggs are laid during the summer season and hatch the following spring. These first-stage larvae feed primarily on oaks (Quercus spp.) and other hardwoods, particularly walnut (Juglans spp.), basswood (Tilia spp.), and birch (Befula spp.). The optimum time to evaluate the effects of gypsy moth defoliation is 1 to 21 June, when gypsy moth infestation is at its peak (Knight and Heikkenen, 1980; Ciesla et al., 1989).

Methodology

spot Haute Resolution Visible (HRV) XS data were acquired on 15 fune 1987 and SPoT HRV-XS and panchromatic data (PAN) were acquired on 4 July 1988 (Path-Row KJ 619, 272). Although the 19BB data were acquired two weeks after what is considered to be the peak of infestation, it is not late enough to allow for vegetation to recover and defoliation would still be quite evident.

The multispectral data from June 1987 and 1988 were geocoded and resampled from ZO-metre to 10-metre spatial resolution using an intensity, hue, and saturation (IHS) transformation based on the SPOT 10-metre panchromatic data. The geocoding process used a single set of control points to create a sensor-orbit-Earth ellipsoid model to transform individual pixels to the Universal Transverse Mercator (UTM) reference system, The geocoding also employed a 1:25,000-scale terrain model (50-metre contour) to remove terrain relief distortions, A nearest-neighbor spatial interpolation was used to retain radiometric integrity, and the root-mean-square of the rectification model was approximately one pixel (ten metres).

Precision geocoding of the multitemporal data obviated additional resampling for image-to-image co-registration. Precise co-registration of the data sets is critical to minimize misregistration that might provide false indications of imageto- image change. No corrections for atmospheric effects were performed because the imprecision of a scattering model might influence change detection results. This also enabled characterization of each change detection technique's ability to isolate inter-image variance due to atmospheric effects. At the resampled spatial resolution of 10 metres, 1088 rows by 1391 scan lines, or 1,513,408 pixels, were included.

Defoliation maps of the study area had been developed by the U.S. Forest Service from aerial sketch mapping performed in June of 1987 and 1988. These maps corresponding to the U.S. Geological Survey 7.5-minute, 1:24,000 scale topographic map were obtained and digitized into a raster GIS (Figure 1). The 19BB defoliation maps were classified by the Forest Service as non- defoliated (greater than or equal to 30 percent defoliation), moderate defoliation (31 to 60 percent defoliation), and heavy defoliation (61 to 100 percent defoliation. Because the 1987 data maps included only defoliated/ non-defoliated classes, the 1988 data were recoded also as defoliated/non-defoliated, with moderate defoliation included as defoliation.

The minimum mapping unit of the defoliation polygons was approximately 4 hectares (10 acres). These sketch maps were the reference information for the accuracy evaluation of the change detection strategies. No quantitative assessment of the accuracy of the sketch maps was performed. These techniques are generally assumed to be reliable indicators of defoliation due to gypsy moth, although sketch-mapping can be inaccurate (Aldrich et al., 1958). Thus, accuracy assessment should be considered as relative, rather than absolute, when evaluating the four change detection methods.

Principal Components Analysis

PCA, or the Karhunen-Loeve (K-L) transformation (Duvernoy and Leger, 1980), is a multivariate statistical technique where data axes are rotated into principal axes, or components, that

maximize data variance (Figure 2). The original data are then transformed to the new principal axes, or components. In this manner, correlated data sets can be represented by a smaller number of axes, while maintaining most of the variation of the original data. For change detection purposes, PCA can be divided into two categories: (1) independent and (2) merged data transformation and analyses. Independent transformations are subsets of post-classification change detection that employ PCR independently on registered temporal data pairs as a prelude to post-classification comparisons (Estes ef al., 1982). Merged data transformations are those that rely

upon PcA of combined multitemporal data sets to isolate inter-image change. The premise for this analysis is that multitemporal data sets are highly correlated and that PCA can be used to highlight differences attributable to change (Byrne et al., 1980).

PCA for this study was based on the entire merged data set. The eigenvalue matrix (Table 1) indicates that eigenimage 1 accounts for the majority of the inter-image variance -61.3 percent. Eigenimages 2, 3, and 4 account for 22.9, 9.3, and 5.6 percent of the inter-image variance, respectively. The remaining two components, 5 and 6, account for less than 1

Figure 2. Principal component transformation. (A) Bivariate scatterplot with mean and new coordinate system. (B) Construction and rotation of the principal components with theta equal to the angle of rotation and variance optimized by angle. (C) Component eigenvectors (EV), where the lengths of the eigenvectors are the eigenvalues (from Jensen, 1986; Jensen and Waltz, 1979).

TABLE 1. MERGED PRINCIPAL COMPONENTS

percent of this variance, Analysis of the eigenvector matrix indicates the relative contribution to the overall eigenimage variance by each of the image bands. This "factor loading analysis" provides insight into how each image band loads or contributes to the principal components transformation when considered with visual inspection of eigenimages.

Eigenimage 1 is attributable to changes in overall scene brightness, while eigenimage 2 represents changes in overall scene greenness (Figure 3). Eigenimage 3 is due to changes caused by forest defoliation, and other changes in vegetation cover which would impact infrared (IR) reflectance, such as cropping followed by fallow-field conditions. Eigenimage 4 ir attributable to differences in the two images caused by clouds and cloud shadows being present in the first year only. The remaining two eigenimages, which account for only 0.83 percent of the inter-image variability, represent inter-image differences due to atmospheric and sensor variations. The sensor variations are evident in sensor band striping in these two eigenimages.

Two PCA approaches were developed. In the first, merged pcA (MPCA), all six principal components, or eigenimages, were used in performing an unsupervised statistical signature extraction based on minimum spectral distances and scaled cluster weight criteria and application of a Bayesian maximum-likelihood decision rule. For this and subsequent processing, 25 unsupervised signatures were generated. Although the six eigenimages contain all of the variance of the original six bands, this allowed the evaluation of the effects of the principal component transformation on classification accuracy. In the second approach, because eigenimage 3 (PC3) was found to represent year-to-year variance due to defoliation, it was also classified independently using density level slicing.

Image Differencing or Delta Change DetectionID is a technique whereby changes in brightness values between two or more data sets are determined by cell-by-cell subtraction of co-registered image data sets. The subtraction (differencing) produces an image data set where positive and negative values represent areas of change and values close to zero indicate areas that remain relatively unchanged. Threshold values are often defined and used to indicate whether significant or relevant change has occurred. This method requires that the difference image be normalized to the median of the quantization level. For these 8-bit data (0 to 255, or 256 levels) the median value (127) was added to the original value resulting from the subtraction.

The pixel-by-pixel subtraction of registered images resulting from image differencing can be used to create maps of increased and decreased values of the reflectance of surface features. In arid lands, for example, decreases in albedo may indicate site degradation or desertification (Robinove ef al., 1981). Image differencing can also be used to identify areas where further analysis might be required, thereby reducing the amount of ground referencing required for effective analysis by as much as 97 percent (Estes et al., 1982). In this study, the data sets were subtracted band-by-band, normalized, and classified without using change thresholds (Plate 1).

Spectral-Temporal Change Classification

STCC, or layered temporal change detection, is based on single analysis of a merged multi-date data set using standard pattern recognition and classification techniques. Because the data sets would otherwise be similar, changes would be significantly different statistically (Weismiller et al., 1977). Although this technique only requires a single classification, signature development can be very complex, especially when a large number of spectral bands are considered (fensen, 1986J.

STCC required merging the pre-processed data into a sin-

gle six-band data set. Classification was performed by extracting unsupervised signatures and applying a maximum-likelihood decision rule.

Post-Classification Change Detection Differencing

PCCDD is a technique where multi-date digital data sets are independently classified and then compared on a pixel-bypixel, or polygon-by-polygon, basis for each class (Wickware and Howarth, 1981). The classification maps are compared using class pairs as described by the analyst, and the result is an indicator of areas of change (Weismiller et al., 1977; Estes et al., 1982).

PCCDD was performed on the SPOT data sets using two approaches. In addition to the cluster-generated signatures, training classes were also defined interactively prior to the application of a maximum-likelihood decision rule.

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Plate 1, 1987, 1988 (RGB = 3, 2, 1; courtesy spor Image Corporation), and Image Differencing images (ID displayed as RGB $= 1, 2, 3$ for difference bands 1, 2, 3, respectively). (a) 1987 spot xs. (b) 1988 spot xs. (c) Image differencing.

Results and Discussion

One of the criteria for evaluating the change detection technique was classification accuracy, Accuracy assessment was performed using a cls to reference the U.S. Forest Service aerial sketch mapping classification. The standard error matrices for the techniques are provided in Table 2. The overall accuracy as well as the normalized overall accuracy and Kappa Coefficient (KHAT) statistic, as described by Congalton et $a\hat{l}$. (1983) and Congalton (1991), are included as Table 3. The Kappa Coefficient was generated for each error matrix as an estimate of agreement where chance agreement is removed.

The Z-statistic was used as a pair-wise test of significance between the techniques at a 95 percent probability level (Congalton et $al.$, 1983). It indicated that the techniques differed significantly (Table a.), that is, the absolute value of the test statistic was greater than 1.96. The accuracy ranking by technique varied somewhat according to whether the standard error matrix, normalized error matrix, or Kappa Coefficient was scrutinized, although image differencing and PC3 rank one and two, respectively, for all three. It is important to note that only PCCDD and STCC were capable of determining that defoliation occurred in both 1987 and 1988. Therefore, this category was not included in comparing the techniques.

Merged Principal Components Analysis

MPCA was intended to identify the single component image that reflected changes in defoliation, i.e., PC3. MPCA does, however, have the advantage of defining the source of other inter-image variance. Atmospheric effects and band striping were isolated as individual components. The accuracy of MPCA differed significantly from that of Srcc, although the data were of the same dimensions and MPCA accounts for the same variance in the data as STCC. It is uncertain whether this difference is due to the effects of the principal components transformation or as a result of the unsupervised signature generation.

Improper generation of the transformation matrix is of primary concern when using MPCA. Creating subsets of the image data to guide transformation matrix generation so as to highlight features of interest can be employed with potentially good results (Duggin et $al.$, 1986), although there may be no prediction towards this end. Data correlation is determined by constructing either a covariance or a correlation matrix (Fung and LeDrew, 1987), and results can differ significantly according to which matrix is employed.

Principal Component 3

The PC3 analysis offered better locational accuracy results than did the MPCA. Defoliation in any one year was manifested at the tails of the PC3 smoothed frequency polygon (Figure 4). The optimum standard deviation-derived density Ievel slice was determined by plotting relative classification accuracies (Figure 5). Although this procedure was based on using the reference data, sampling to calibrate the level slice could be performed. PCA has the best potential for becoming a truly automated change detection technique. The ability to discern defoliation was found to be based solely on distance from the data mean, and defining defoliation in any region was accomplished by setting the limits of the single-band density slice. It also obviates normalizing multitemporal data sets to remove inter-image variability due to sensor and atmospheric conditions and not due to change.

Image Differencing

ID offered the ability to define change thresholds and allows for flexible subsetting of data for classification improvement

Where: values are pixels classified.

and data reduction, with results comparable to PCA. ID is computationally very simple and easy to interpret. Band-byband subtraction permits the analysis of the nature of interimage change on a per-band basis.

Spectral-Temporal Change Classification

srcc proved to be the most analytically intensive of the techniques studied. Because the data sets are merged and no preprocessing is prescribed for data reduction, it is necessary to analyze all bands to subset the data. Signature development

Error Matrix	Accuracy	Normalized Accuracy	Khat	Variance
Merged PCA	0.6332	0.6074	0.2494	0.00001272
PCA Eigenimage 3	0.6561	0.6849	0.3629	0.00001234
Image Differencing	0.6902	0.7418	0.4542	0.00001101
Spectral-Temporal	0.6109	0.6159	0.2064	0.00001305
Post-Classification	0.6185	0.6664	0.3052	0.00001399

TABLE 3. TEST OF AGREEMENT

TABLE 4. PAIR-WISE SIGNIFICANCE TEST FOR ERROR MATRICES BY TECHNIQUE AT 95 PERCENT-CONFIDENCE INTERVAL $(±1.96)$

for change detection using STCC is complex because multidate change signatures, and not just defoliation signatures, must be developed.

Post-Classification Change Detection Differencing

PCCDD is the most straightforward technique because the data remain in image format. It does not, however, allow for normalizing differences between multitemporal data caused by sensor and atmospheric influences, and care must be taken so that non-feature changes are not classified as change. The primary disadvantage of ICCDD is that, although it is possible to standardize classification procedures from one data set to another, the technique does not allow for normalizing differences between multitemporal data attributable to sensor and atmospheric influences.

Conclusions

Principal components analysis and image differencing offer the greatest potential for achieving reliable mapping of defo-Iiation. That a density level slice of a single principal component could be used to characterize changes due to defoliation is an outcome of special interest. When used in conjunction with ground and aerial photography-based assessment methods, change detection using satellite-borne remote sensing data may aid in the systematic and quantitative monitoring of defoliation conditions.

A limitation to using a change detection approach to identify and monitor defoliation is that, if defoliation occurs in the same area during consecutive years, there will be no net change during that period. However, once baseline conditions are established, monitoring can proceed normally.

Digital change detection offers potential benefits for monitoring defoliation over large areas. Image differencing and principal components analysis are rather straightforward and could be automated easily. Even if defoliation could not be readily classified, the detection of change could be referenced in a spatial database to isolate change occurring in hardwood forests, thus effectively reducing sampling costs required for other monitoring techniques.

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